



#14  
PATENT  
Docket No. 435712003521

## DECLARATION FOR UTILITY PATENT APPLICATION

AS BELOW-NAMED INVENTORS, WE HEREBY DECLARE THAT:

Our residences, post office addresses, and citizenship are as stated below next to our names.

We believe we are the original, first and joint inventors of the subject matter which is claimed and for which a patent is sought on the invention entitled: DEVICES FOR APPLYING ENERGY TO TISSUE, the specification of which is attached hereto unless the following box is checked:

- ☒ was filed on February 21, 2002 as United States Application Serial No. 10/079,605.

WE HEREBY STATE THAT WE HAVE REVIEWED AND UNDERSTAND THE CONTENTS OF THE ABOVE-IDENTIFIED SPECIFICATION, INCLUDING THE CLAIMS, AS AMENDED BY ANY AMENDMENT REFERRED TO ABOVE.

We acknowledge the duty to disclose information which is material to the patentability as defined in 37 C.F.R. § 1.56.

We hereby claim foreign priority benefits under 35 U.S.C. § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT International application which designated at least one country other than the United States listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed:

Application No.	Country	Date of Filing (day/month/year)	Priority Claimed?
			<input type="checkbox"/> Yes <input type="checkbox"/> No

We hereby claim benefit under 35 U.S.C. § 119(e) of any United States provisional application(s) listed below:

Application Serial No.	Filing Date
60/147,528	August 5, 1999
60/176,141	January 14, 2000
60/269,130	February 14, 2001

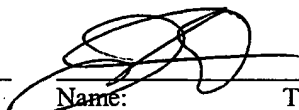
We hereby claim the benefit under 35 U.S.C. § 120 of any United States application(s), or § 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior

United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. § 112, we acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. § 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application.

Application Serial No.	Filing Date	Status
09/946,706	September 4, 2001	<input type="checkbox"/> Patented <input checked="" type="checkbox"/> Pending <input type="checkbox"/> Abandoned
09/908,087	July 18, 2001	<input type="checkbox"/> Patented <input checked="" type="checkbox"/> Pending <input type="checkbox"/> Abandoned
09/633,651	August 7, 2000	<input type="checkbox"/> Patented <input checked="" type="checkbox"/> Pending <input type="checkbox"/> Abandoned

We hereby declare that all statements made herein of our own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under § 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

4/16/02  
Date



Name: Thomas KEAST  
Residence: 860 Park Drive, #3, Mountain View, California 94040  
Citizenship: United States of America  
Post Office Address: 860 Park Drive, #3, Mountain View, California 94040

4-12-02  
Date



Name: Christopher Lee WILLINK  
Residence: 126 Ada Avenue, Mountain View, California 94043  
Citizenship: United States of America  
Post Office Address: 126 Ada Avenue, Mountain View, California 94043

4/23/02  
Date



Name: Ed ROSCHAK  
Residence: 430 Whisman Court, Mountain View, California 94043  
Citizenship: United States of America  
Post Office Address: 430 Whisman Court, Mountain View, California 94043

4/16/02  
Date



Name: Dave HAUGAARD  
Residence: 750 Pershing Avenue, San Jose, California 95126  
Citizenship: United States of America  
Post Office Address: 750 Pershing Avenue, San Jose, California 95126

4/19/02

Date



Name: David THOMPSON

Residence: 793 Almondwood Way, San Jose, California 95120

Citizenship: United States of America

Post Office Address: 793 Almondwood Way, San Jose, California 95120



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

The application of:

Thomas KEAST et al.

Serial No.: 10/079,605

Filing Date: February 21, 2002

For: DEVICES FOR APPLYING ENERGY  
TO TISSUE

Examiner: To Be Assigned

Group Art Unit: 3739

**PROSECUTION BY ASSIGNEE AND POWER OF ATTORNEY  
UNDER 37 C.F.R. § 3.71**

Box Missing Parts  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Broncus Technologies, Inc., the assignee of the entire right, title and interest in this patent application, under 37 C.F.R. § 3.71 hereby appoints:

Lisa A. Amii (Reg No. 48,199)	Randolph Ted Apple (Reg No. 36,429)
Mehran Arjomand (Reg No. 48,231)	Laurie A. Axford (Reg No. 35,053)
Erwin J. Basinski (Reg No. 34,773)	Shantanu Basu (Reg No. 43,318)
Richard R. Batt (Reg No. 43,485)	Vincent J. Belusko (Reg No. 30,820)
Jonathan Bockman (Reg No. 45,640)	Kimberly A. Bolin (Reg No. 44,546)
Barry E. Bretschneider (Reg No. 28,055)	Tyler S. Brown (Reg No. 36,465)
Nicholas Buffinger (Reg No. 39,124)	A. Randall Camacho (Reg No. 46,595)
Mark R. Carter (Reg No. 39,131)	Robert K. Cerpa (Reg No. 39,933)
Peng Chen (Reg No. 43,543)	Alex Chartove (Reg No. 31,942)
Thomas Chuang (Reg No. 44,616)	Thomas E. Ciotti (Reg No. 21,013)
Cara M. Coburn (Reg No. 46,631)	Matthew M. D'Amore (Reg No. 42,457)
Raj S. Davé (Reg No. 42,465)	Peter Davis (Reg No. 36,119)
David Devernoe (Reg No. P-50,128)	Karen B. Dow (Reg No. 29,684)
Stephen C. Durant (Reg No. 31,506)	Richard R. Eckman (Reg No. 42,504)
Carolyn A. Favorito (Reg No. 39,183)	David L. Fehrman (Reg No. 28,600)
Hector Gallegos (Reg No. 40,614)	Thomas George (Reg No. 45,740)
Deborah S. Gladstein (Reg No. 43,636)	Debra J. Glaister (Reg No. 33,888)
Kenneth R. Glick (Reg No. 28,612)	Bruce D. Grant (Reg No. 47,608)

Johney U. Han (Reg No. 45,565)  
Alan S. Hodes (Reg No. 38,185)  
Kelvan P. Howard (Reg No. P48,999)  
Wayne Jaeschke, Jr. (Reg No. 38,503)  
Parisa Jorjani (Reg No. 46,813)  
Richard C. Kim (Reg No. 40,046)  
Lawrence B. Kong (Reg No. P49,043)  
Glenn Kubota (Reg No. 44,197)  
Michael J. Mauriel (Reg No. 44,226)  
Gladys H. Monroy (Reg No. 32,430)  
Kate H. Murashige (Reg No. 29,959)  
Martin M. Noonan (Reg No. 44,264)  
Phillip Reilly (Reg No. 41,415)  
Robert E. Scheid (Reg No. 42,126)  
Terri Shieh-Newton (Reg No. 47,081)  
Kevin R. Spivak (Reg No. 43,148)  
Thomas L. Treffert (Reg No. P48,279)  
Michael R. Ward (Reg No. 38,651)  
Todd W. Wight (Reg No. 45,218)  
Frank Wu (Reg No. 41,386)  
Peter J. Yim (Reg No. 44,417)  
Karen R. Zachow (Reg No. 46,332)

Douglas G. Hodder (Reg No. 41,840)  
Charles D. Holland (Reg No. 35,196)  
Jill A. Jacobson (Reg No. 40,030)  
Madeline I. Johnston (Reg No. 36,174)  
Ararat Kapouytian (Reg No. 40,044)  
Cameron A. King (Reg No. 41,897)  
Kawai Lau (Reg No. 44,461)  
Rimas T. Lukas (Reg No. 46,451)  
Robert S. McArthur (Reg No. 45,674)  
Philip A. Morin (Reg No. P-45,926)  
Mabel Ng (Reg No. P48,922)  
Catherine M. Polizzi (Reg No. 40,130)  
Robert Saltzberg (Reg No. 36,910)  
Debra A. Shetka (Reg No. 33,309)  
David Smith (Reg No. 39,839)  
Stanley H. Thompson (Reg No. 45,160)  
Brenda J. Wallach (Reg No. 45,193)  
E. Thomas Wheelock (Reg No. 28,825)  
Eric Witt (Reg No. 44,408)  
David T. Yang (Reg No. 44,415)  
George C. Yu (Reg No. 44,418)

all of Morrison & Foerster LLP, 755 Page Mill Road, Palo Alto, California 94304-1018, telephone (650) 813-5600, to prosecute this application and transact all matters in the United States Patent and Trademark Office connected therewith, said appointment to be to the exclusion of the inventors and their attorneys in accordance with the provisions of 37 C.F.R. § 3.71 provided that if any one of said attorneys or agents ceases being affiliated with the law firm of Morrison & Foerster LLP as partner, employee or of counsel, such attorney's or agent's appointment as attorney or agent and all powers derived therefrom shall terminate on the date such attorney or agent ceases being so affiliated.


Please direct all written communications relative to this application to:

Richard R. Batt  
Morrison & Foerster LLP  
755 Page Mill Road  
Palo Alto, California 94304-1018

Please direct all telephone communications to Richard R. Batt at (650) 813-5616.

Broncus Technologies, Inc.  
a California corporation

Dated: 4/24, 2002

  
\_\_\_\_\_  
Name: Gary Kaplan  
Title: Vice President, Operations  
Address: 1400 N. Shoreline Blvd.  
Bldg. A, Suite 8  
Mountain View, California 94043

**COPY****ASSIGNMENT  
JOINT**

THIS ASSIGNMENT, by Thomas KEAST, Christopher Lee WILLINK, Ed ROSCHAK, Dave HAUGAARD and David THOMPSON, residing at 860 Park Drive, #3, Mountain View, California 94040; 126 Ada Avenue, Mountain View, California 94043; 430 Whisman Court, Mountain View, California 94043; 750 Pershing Avenue, San Jose, California 95126; and 793 Almondwood Way, San Jose, California 95120, respectively, witnesseth:

WHEREAS, said assignors have invented certain new and useful improvements in DEVICES FOR APPLYING ENERGY TO TISSUE, set forth in an application for Letters Patent of the United States, bearing Serial No. 10/079,605 and filed on February 21, 2002; and

WHEREAS, Broncus Technologies, Inc., a corporation duly organized under and pursuant to the laws of California and having its principal place of business at 1400 N. Shoreline Blvd., Bldg. A, Suite 8, Mountain View, California 94043 (hereinafter referred to as the assignee) is desirous of acquiring the entire right, title and interest in and to said inventions and said application for Letters Patent of the United States, and in and to any Letters Patent or Patents, United States or foreign, to be obtained therefor and thereon:

NOW, THEREFORE, in consideration of One Dollar (\$1.00) and other good and sufficient consideration, the receipt of which is hereby acknowledged, said assignors have sold, assigned, transferred and set over, and by these presents do sell, assign, transfer and set over, unto said assignee, its successors, legal representatives and assigns, the entire right, title and interest in and to the above-mentioned inventions, application for Letters Patent, and any and all Letters Patent or Patents in the United States of America and all foreign countries which may be granted therefor and thereon, and in and to any and all divisions, continuations and continuations-in-part of said application, or reissues or extensions of said Letters Patent or Patents, and all rights under the International Convention for the Protection of Industrial Property, the same to be held and enjoyed by said assignee, for its own use and the use of its successors, legal representatives and assigns, to the full end of the term or terms for which Letters Patent or Patents may be granted, as fully and entirely as the same would have been held and enjoyed by the assignors, had this sale and assignment not been made.

AND for the same consideration, said assignors hereby covenant and agree to and with said assignee, its successors, legal representatives and assigns, that, at the time of execution and delivery of these presents, said assignors are the sole and lawful owners of the entire right, title and interest in and to said inventions and the application for Letters Patent above-mentioned, and that the same are unencumbered and that said assignors have good and full right and lawful authority to sell and convey the same in the manner herein set forth.

AND for the same consideration, said assignors hereby covenant and agree to and with said assignee, its successors, legal representatives and assigns, that said assignors will, whenever counsel of said assignee, or the counsel of its successors, legal representatives and assigns, shall advise that any proceeding in connection with said inventions, or said application for Letters Patent, or any proceeding in connection with Letters Patent for said inventions in any country, including interference proceedings, is lawful and desirable, or that any division, continuation or continuation-in-part of any application for Letters Patent or any reissue or extension of any Letters Patent, to be obtained thereon, is lawful and desirable, sign all papers and documents, take all lawful oaths, and do all acts necessary or required to be done for the procurement, maintenance, enforcement and defense of Letters Patent for said inventions, without charge to said assignee, its successors, legal representatives and assigns, but at the cost and expense of said assignee, its successors, legal representatives and assigns. Such cost and expense shall include, but is not limited to, lost normal compensation of the respective assignor.


AND said assignors hereby request the Commissioner of Patents to issue said Letters Patent of the United States to said assignee as the assignee of said inventions and the Letters Patent to be issued thereon for the sole use of said assignee, its successors, legal representatives and assigns.

Date

4/16/02

Thomas KEAST


4-12-02  
Date

  
Christopher Lee WILLINK

4/23/02  
Date

  
Ed ROSCHAK

4/16/02  
Date

  
Dave HAUGAARD

\_\_\_\_\_  
Date

\_\_\_\_\_  
David THOMPSON

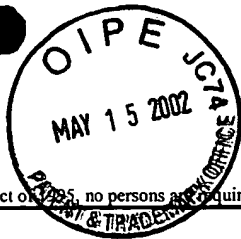


4-12-02  
Date  
Christopher Lee WILLINK

        
Date  
Ed ROSCHAK

        
Date  
Dave HAUGAARD

4/19/02  
Date  
David THOMPSON



PTO/SB/96 (08-00)

Approved for us through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: Thomas KEAST et al.

Application No./Patent No.: 10/079,605

Filed/Issue Date:

February 21, 2002

Entitled: DEVICES FOR APPLYING ENERGY TO TISSUE

Broncus Technologies, Inc., a corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by, percentage) of its ownership interest is \_\_\_\_\_ %

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

[ ] Additional documents in the chain of title are listed on a supplemental sheet.

- [ ] Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

4/24/02  
Date

Gary Kaplan

Signature

Vice President, Operations

Title

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Attorney Docket No.: 435712003521

pa-681058